

FIGURE 1

UBS PrimeWebber Experience 0.1 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit

Address http://162.66.28.184/index1.html

UBS PrimeWebber

Online Assistant Feedback Log Out

View Actions Site Map

2002 RITC-B O/A-BWERN 0.13E PE 110.63E Mkt Mkr

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\$SP 500 1080.82 +24.64

Quick Search: Client Account # for AB

Go

Home Clients Market Data The Advisor

My Business Support

Products Research Order Entry

Business Support

Client/Goal Manager Asset Allocation Reports Modeling Administration

208 210 212 214 216 218 220

Advisory Capabilities

Topic

Using the Goal Profiler to promote 529 plans

Accounting for outside assets

The benefits of Profiling Relationships

Asset Allocation Profiling FAQs

Variability of Outcomes? FAQs

Date Published

11/01/01

10/28/01

10/27/01

10/28/01

10/27/01

Product & Sales Ideas

Topic

FA Gathers \$3 Million in New Assets per week

Including the CAAT fund in an asset allocation

Actionable Equity Sales Ideas

Date Published

11/01/01

10/28/01

10/27/01

Model Portfolio Updates

Topic

Equities

Taxable Fixed Income

Municipals

Mutual Funds

Date Published

11/01/01

10/28/01

10/27/01

10/27/01

FIGURE 2

Client Preferences - Microsoft Internet Explorer

Major Financial Concerns

- ☐ Building assets for future retirement
- ☐ Maintaining assets for current retirement
- ☐ Building assets for child education
- ☐ Wealth Preservation
- ☐ Assure family income in the event of untimely occurrence
- ☐ Purchase a new or second home
- ☐ Emergency fund
- ☐ Passing Wealth to Children
- ☐ Generating a steady stream of income
- ☐ Managing stock option portfolios

Investor Characteristics/Type/Temperament

Investment ☐ Big Picture ☐ Detail Oriented

Investment Facility ☐ Strategic ☐ Tactical

Level of Involvement ☐ Hands On ☐ Hands Off

Product Preferences ☐ New and Innovative ☐ Traditional

Privacy Investment Focus ☐ Absolute Performance ☐ Relative to Goal

Concern for Income Tax ☐ High ☐ Low

Communication ☐ Verbal ☐ Written ☐ Email

302 Save Cancel 300

FIGURE 3

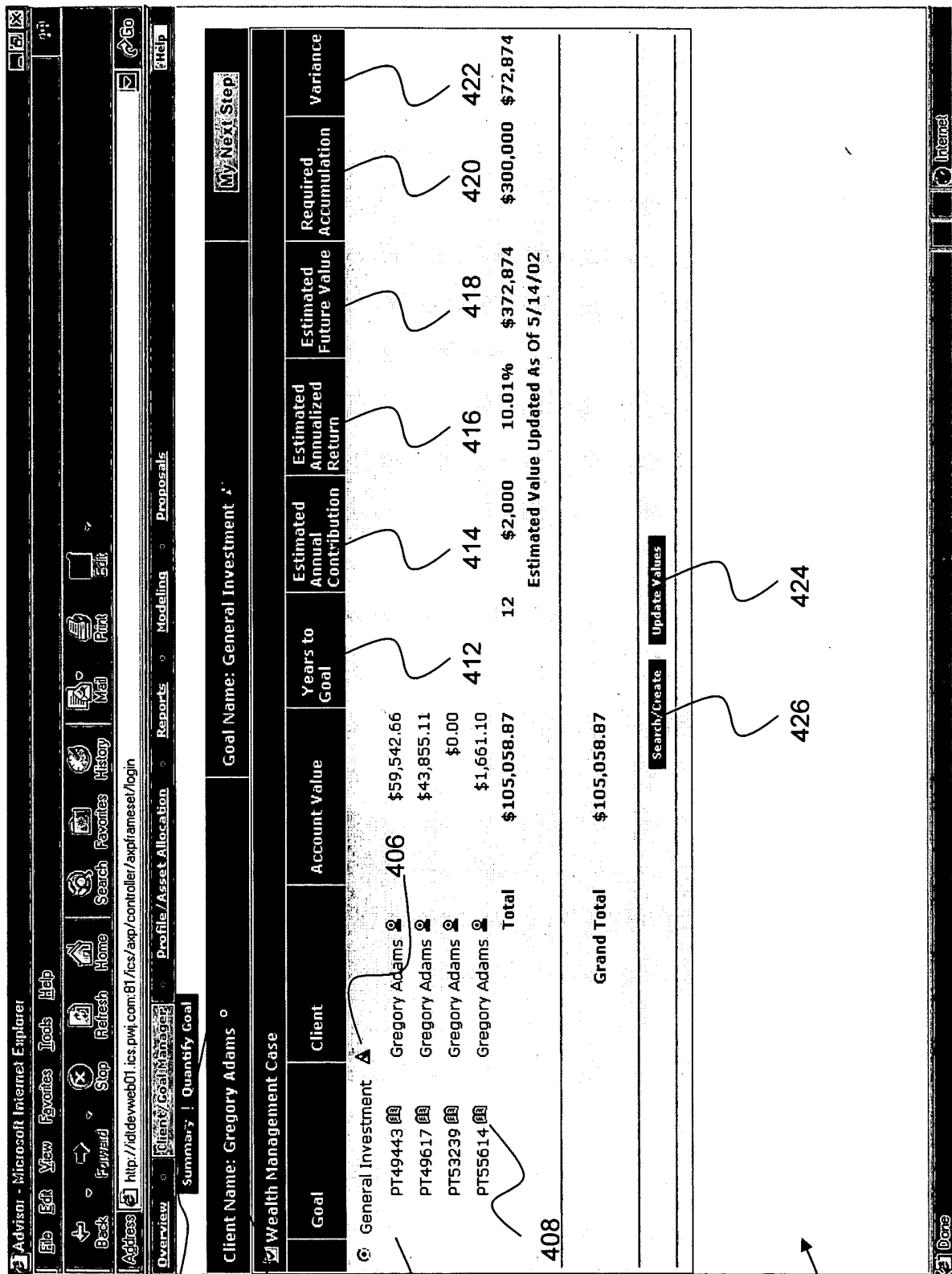


FIGURE 4

UBS PaineWebber Experience 0.1 - Microsoft Internet Explorer
UBS PaineWebber
Feedback
Log Out

View Actions
Site Map
Online Assistant

Symbol Lookup
Equity Composite
Full Quote

Intel BUS MACHINES
L: 105.32
+1.06
PC: +1.02
B: 105.37
A: 105.01
S: 55x16
V: 100,786,500
YH: 153.65
YL: 99.92

2002 RTGB: B O/A: BAWERH
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Mkt Mkr
ACTIVE MARKETS

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S&P 500 1080.82 +24.64

QuickSearch:
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for
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Home
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Market Data
The Advisor
Products
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Order Entry
My Business Support

Overview
Client/Goal Management
Asset Allocation
Reports
Modeling
Proposals
Administration

Summary
Quantify Goal

Client Name: Adams, Sam
Goal Name:
My Next Step

Personal Info

Date Of Birth:
Current Age: 0
Life Expectancy: 90
Total Retirement Assets (\$): 100,259

Additional Retirement Income (\$): 0
Inflation Adjusted Source of Income: 0
Non-Inflation Adjusted Source of Income: 0

Understanding Your Client's Needs (Select one)

How much will my client need at retirement...

...given an ability to contribute \$
each year and a desire to retire at age
65
with an annual retirement income of \$
?

Calculate
\$2,611,972

Assumptions

Inflation: 2.80%
Rate of Return During Retirement: 7.00%
Rate of Return of Current Allocation: 8.11%

Interpreting These Results

Considering the retirement needs indicated above, your client will need to accumulate \$2,611,972 by the time of his/her child's first year of retirement. Given the estimated rate of return of the asset's current allocation (8.11%) and any planned annual contributions, the estimated future value of these assets is \$976,213 on this day. This represents a variance of +/- \$X,XXX.XXX. You should also take the time to determine whether the risk/return characteristics of this allocation are in line with your client's risk profile.

Click here to go to Financial Planning
Save

FIGURE 5

UBS PaineWebber Experience 0.1 - Microsoft Internet Explorer
UBS PaineWebber
Log Out
Feedback
Online Assistant
Step
Overview
MyNextStep

INTL BUS MACHINES
L: 105.32
+1.05
PC: +1.02
B: 105.37
A: 101.01
S: 55x16
V: 100,786,500
YH: 153.65
YL: 99.92
ACTIVE MARKETS
DJIA 9244.25 +191.81
NASDAQ 1620.46 +50.27
S&P 500 1080.82 +24.64

QuickSearch:
Client Account #
for
VO
Go

Home
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Market Data
The Advisor
Products
Research
Order Entry
My Business
Business Support
Overview
Client/Goal Manager
Asset Allocation
Reports
Modeling
Proposals
Administration
Help

Summary
Quantify Goal

Client Name: Adams, Sam
Goal Name: Building Assets for Child's Education
MyNextStep

Personal Info

Student's Date of Birth: 2/20/2000
Sources of Funding During School (\$): 0
Student's Current Age: 2
Tuition Assistance: 0
Total Education Assets (\$): 1,800,000
Income: 0

Understanding Your Client's Needs (Selections)

How much must my client save each year...
How much will my client need in order to fund a child's education starting at age 20, for 20 years, assuming an expense of \$4,727 (in today's dollars) per year, and the ability to contribute \$0 annually?
Calculate

Assumptions

School Cost Annual Increase Rate: 6.00%
Rate of Return During Retirement: 5.00%
Rate of Return of Current Allocation: 8.11%

Interpreting These Results

Considering the education needs indicated above, your client will need to accumulate \$2,611,972 by the time of his/her child's first year of school. Given the estimated rate of return of the asset's current allocation (8.11%) and any planned annual contributions, the estimated future value of these assets is \$976,213 on this day. This represents a variance of +/- \$X,XXX.XXX. You should also take the time to determine whether the risk/return characteristics of this allocation are in line with your client's risk profile.
Click here to go to Financial Planning
Save

FIGURE 6

UBS PaineWebber Experience 0.1 - Microsoft Internet Explorer

Back Forward Stop Reload Home Search Favorites History Mail AOL Internet...

Address: http://152.66.28.184/index.html

Links: Customized Links AOL United Internet Free Yahoo! Windows

Pop-Up Stopper

UBS PaineWebber

Symbol Lookup Equity Composite Full Quote

QuickSearch: Client Account # for

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ACTIVE MARKETS

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NASDAQ	1620.46	+50.27
S&P 500	1080.82	+24.64

Home Clients Market Data The Advisor Products Research Order Entry My Business Business Support

Overview Client/Goal Management Profile / Asset Allocation Reports Modeling Proposal Administration

Summary | Quantify Goal

Client Name: Adams, Sam

Goal Name: Purchase a New or Second Home

Personal Info

Total Account Balance (\$): 300,000

Understanding Your Client's Needs (Select one)

The values for Years to Goal and Targeted Accumulation of Assets, and Annual Contributions to be saved are...

Years to Goal:

Targeted Accumulation of Assets:

Annual Contributions:

Assumptions

Rate of Return of Current Allocation 8.11 %

Interpreting These Results

Considering the savings needs indicated above, your client will need to accumulate \$1,500,000 by the time of the goal distribution date. Given the estimated rate of return of the asset's current allocation (8.57%), the estimated future value of these assets is \$1,960,987 on this day. This represents a variance of + \$460,987. You should also take the time to determine whether the risk/return characteristics of this allocation are in line with your client's risk profile.

Click here to go to Financial Planning

Save

Done

FIGURE 7

Adviser - Microsoft Internet Explorer

Address: http://rddevweb01.ics.pw.com:81/ics/exp/controller/asp/ameset

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit

URS | PaineWebber

Symbol Lookup Equity Composite

INTL BUS MACHINES I: 105.32 +1.05 PC: +1.02 B: 105.37 A: 101.01 S: 55x16 V: 100,786,500 YH: 153.65 YL: 99.92

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ACTIVE MARKETS

DJIA	9244.25	-191.81
IASDAQ	1620.46	+50.27
S&P 500	1080.82	+24.64

QuickSearch: Client Account # for AB Go

Home Clients Market Data Advisory Process Relationship Manager Transaction Summary

Overview Client/Goal Manager Profile Allocation Strategies Strategy Review

Client Name: Gregory Adams Goal Name: General Investment

Desired Goal Value: \$110,555.24

1 In order to recommend an asset allocation based on your client's tolerance for risk and time horizon, please answer the following questions.

Q1. Primary Objective 806 808

Q2. Investment Timeframe 808

Q3. Risk/Return Objective 808

Q4. Risk/Return Characteristics 808

Q5. Short-term Cash Need 808

Q6. Portion of Total Investable Assets in this Goal 808

Investor Preferences

2 In order to personalize this asset allocation, please select which product types you and your client would like to consider.

International Investments

International Equity ☒

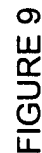
International Fixed Income ☒

Other ☒

Include Cash Component ☒

MyNextStep

FIGURE 8



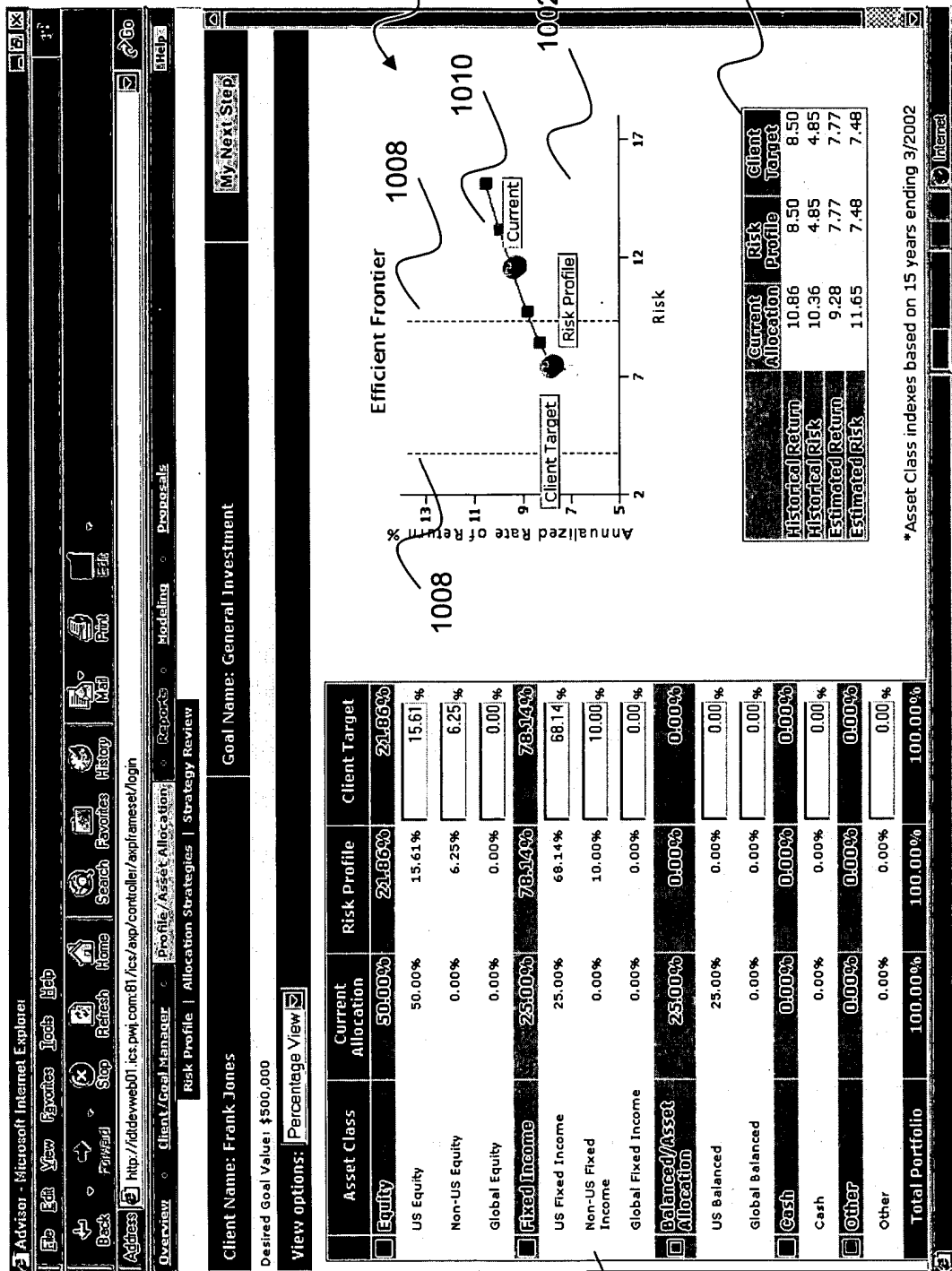


FIGURE 10

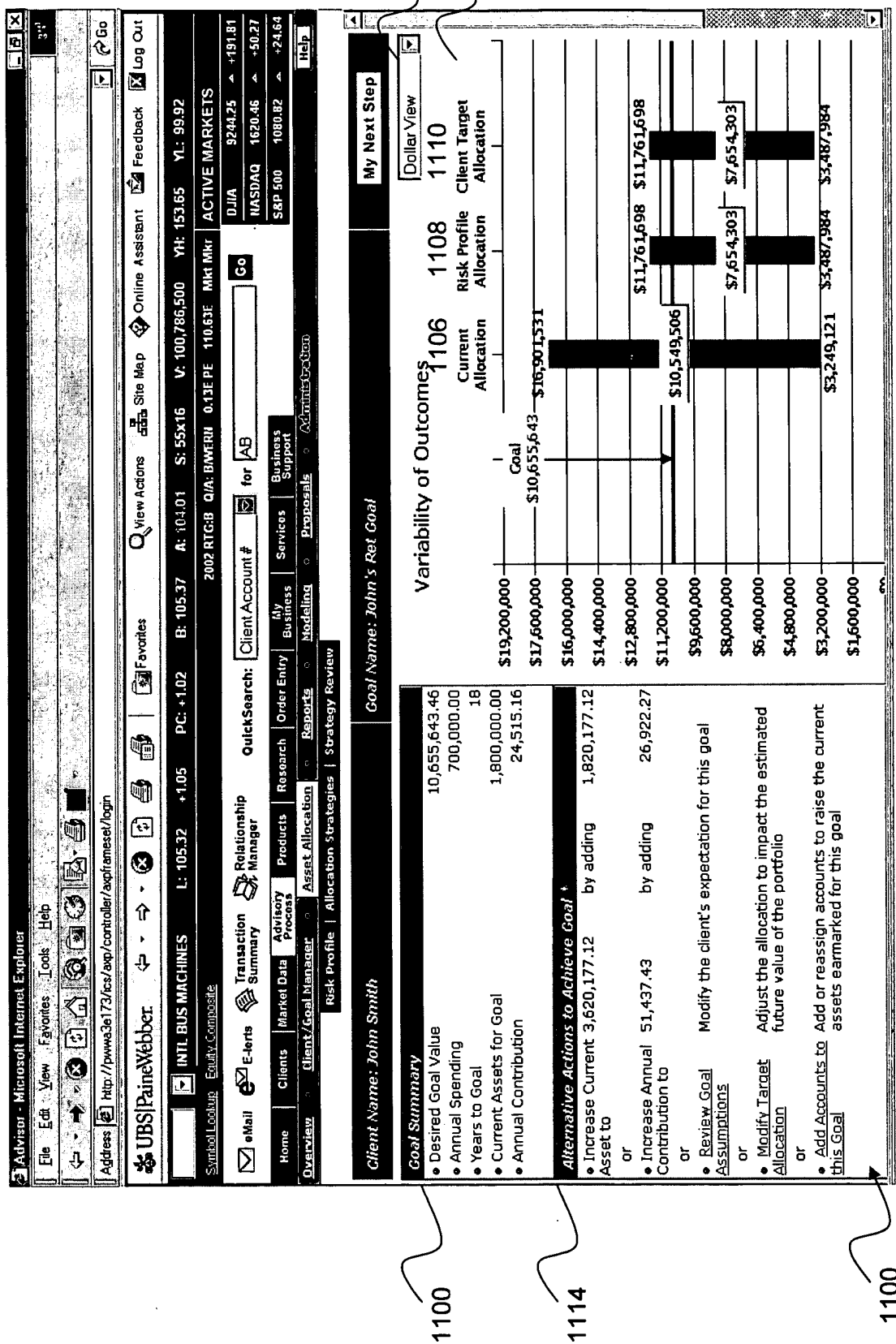


FIGURE 11

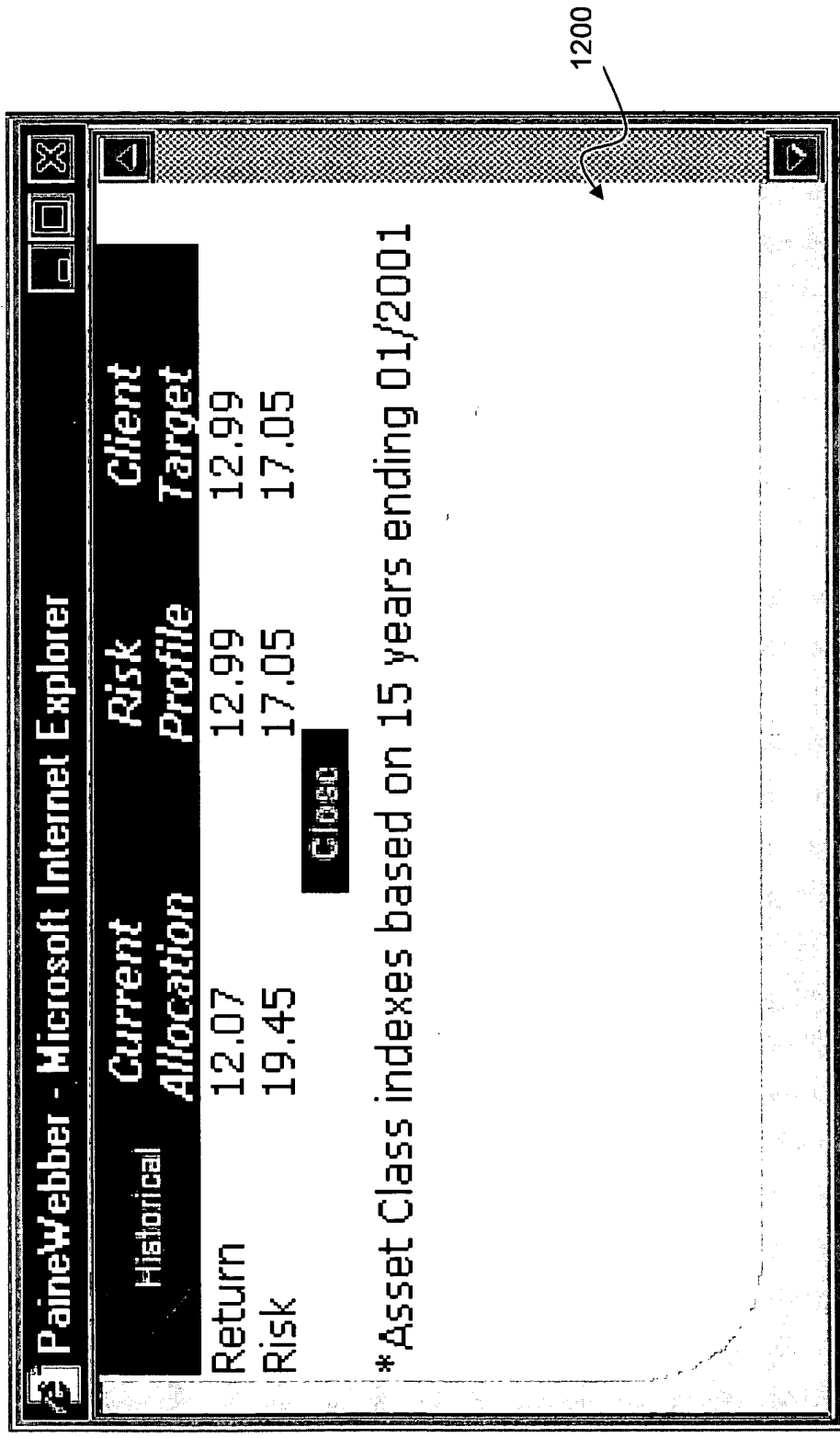


FIGURE 12

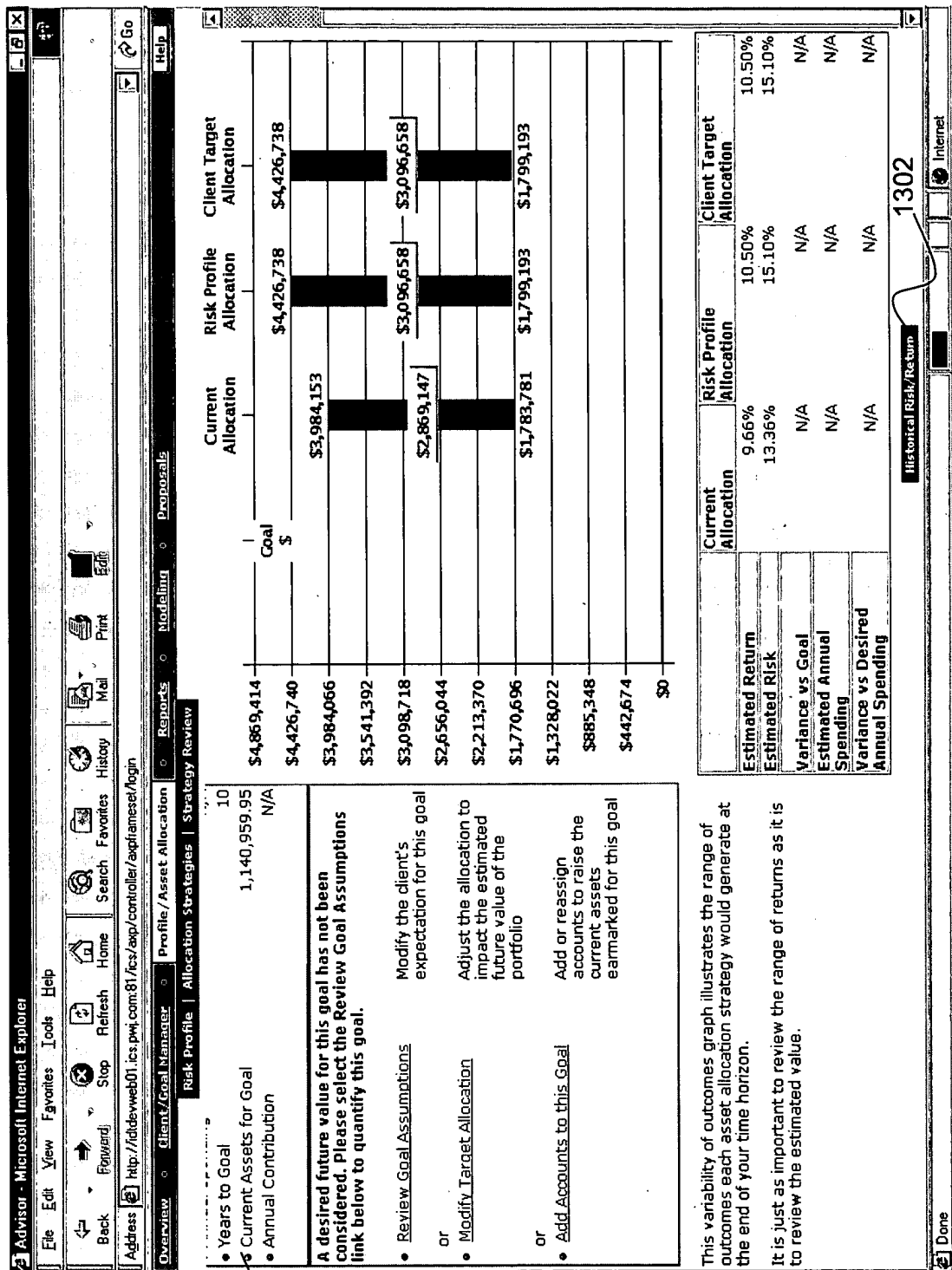


FIGURE 13

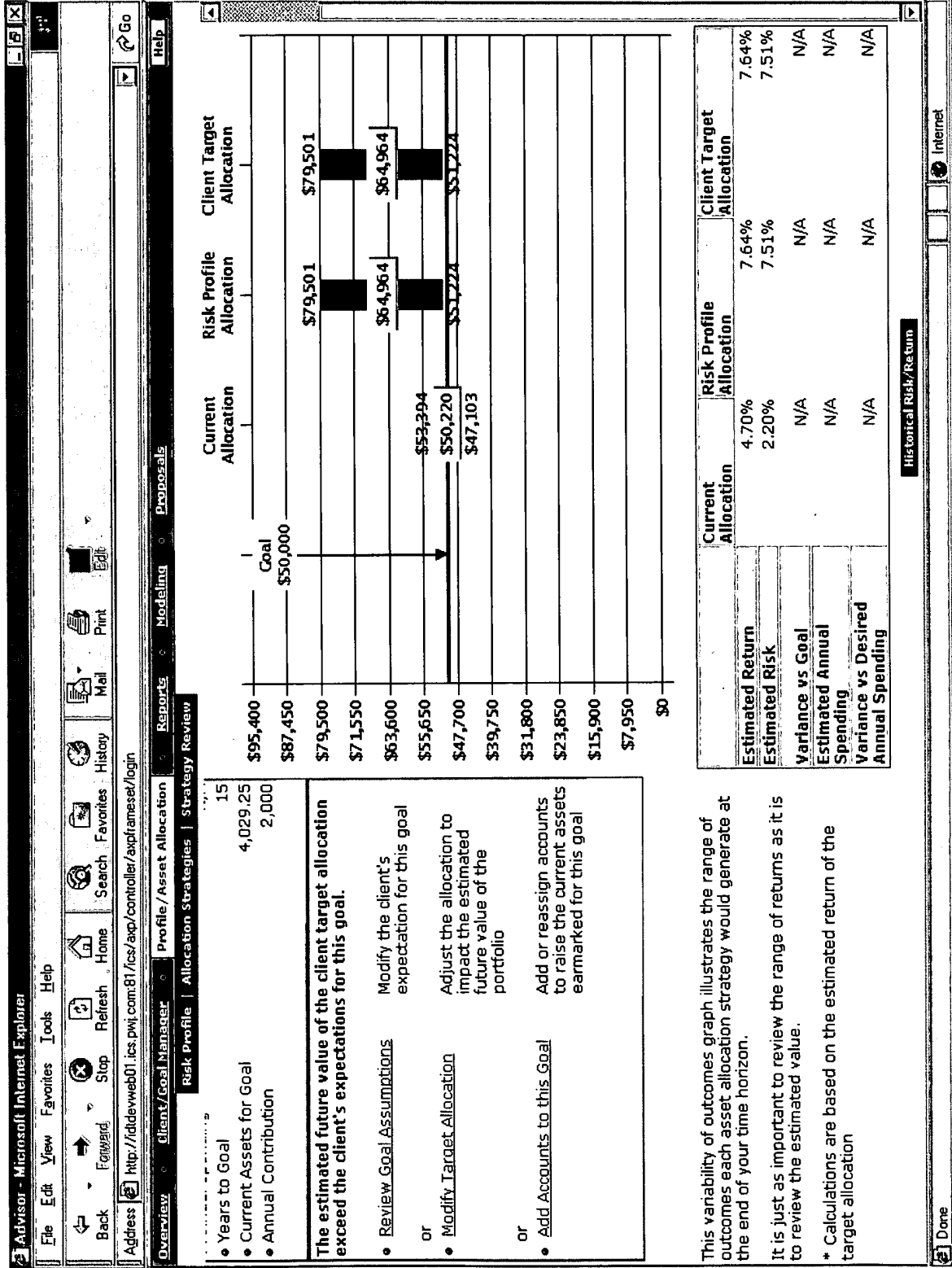


FIGURE 14

UBS PaineWebber Experience 0.1 Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit

Address http://162.66.28.184/index1.html

UBSPaineWebber

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Symbol Lookup Equity Composite Full Guide

QuickSearch: Client Account # for AB Go

Home Clients Market Data The Advisor Products Research Order Entry My Business Support

Overview Client/Goal Manager Asset Allocation Reports Modeling Proposals Administration Help

Recommended Purchases Model Maintenance

Client Name: Adams, Sam Goal Name: Adams' Retirement

My Next Step

1 Select a Product Type Common Stocks 1502

2 Enter Investment Amount \$ 1506

3 Select a Model/Solution Create a Solution

Product Allocation View Asset Allocation

Total \$0

Allocate by:	Delete %	\$ Shrs	Ticker	Description	Rating	Price	% of Product Type	\$ Amount	Shares
<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>							
<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>							
<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>							
<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>							
<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>							

Done

FIGURE 15

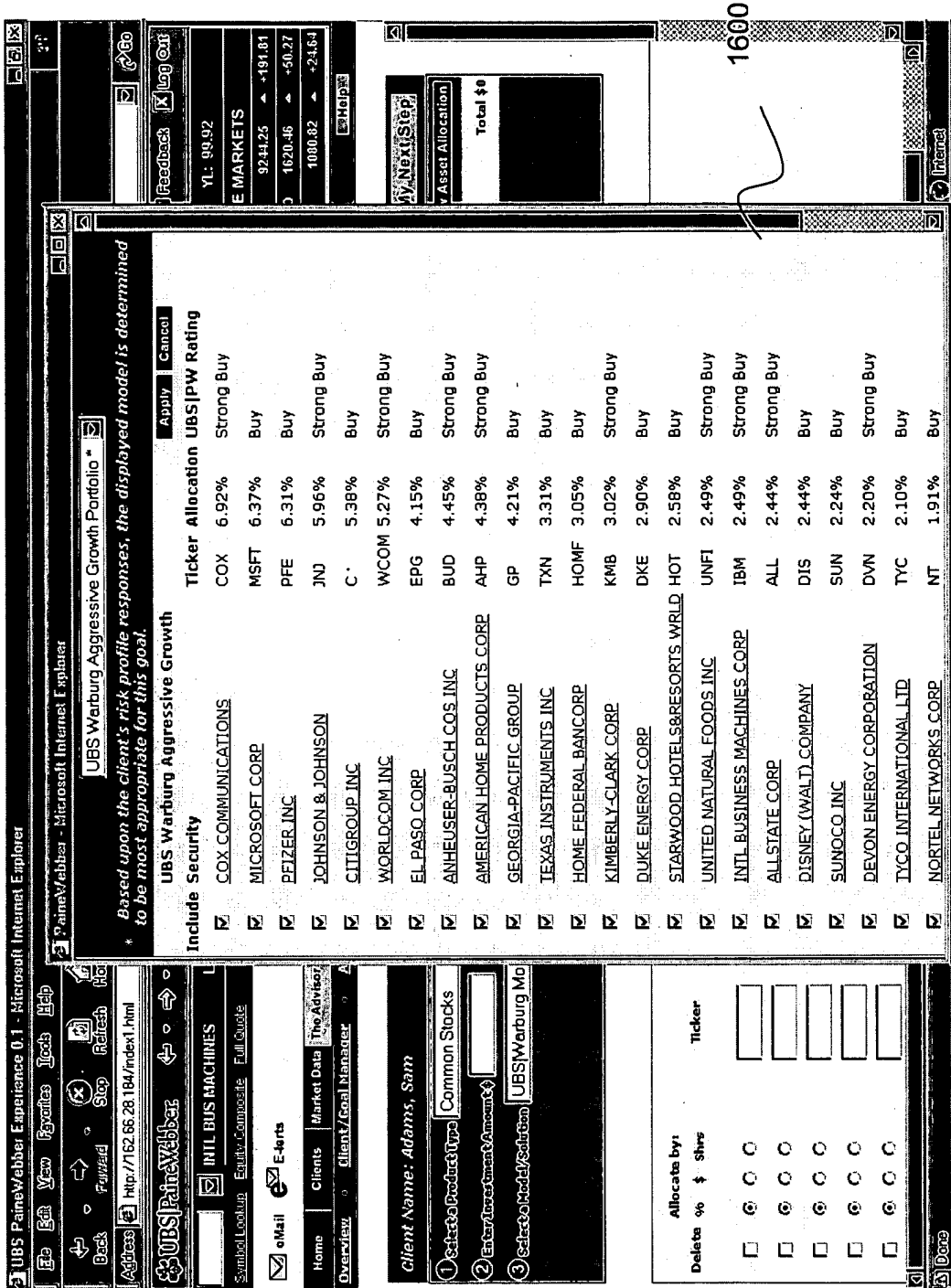


FIGURE 16

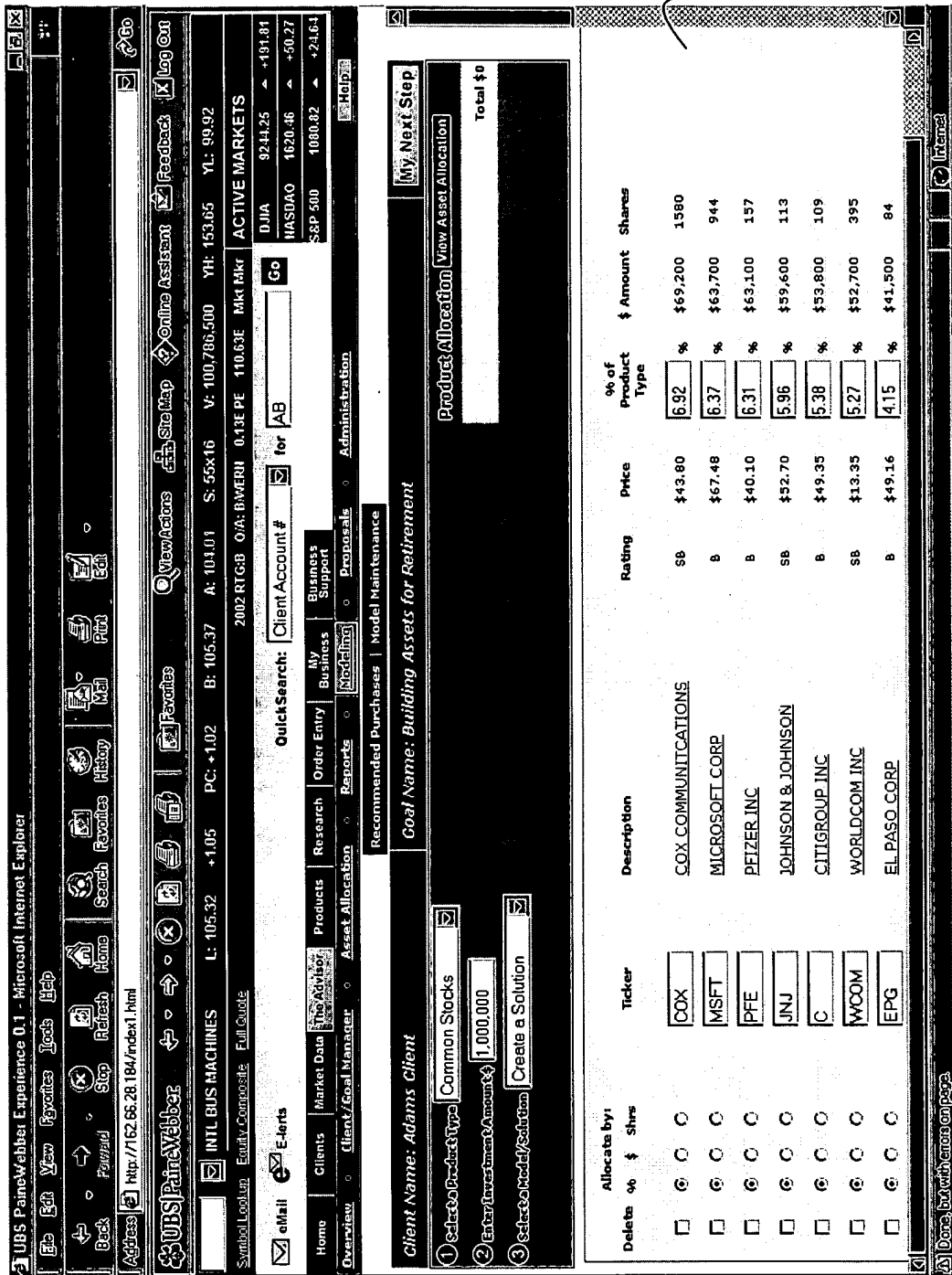


FIGURE 17

1702

Advisor - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address http://adviserweb01.ics.pw1.com:81/ics/asp/controller.asp?ameset

UBSPaineWebWare

Symbol Lookup Equity Composite

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ACTIVE MARKETS

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IIASDAQ	1620.46	-50.27
S&P 500	1080.82	+24.64

QuickSearch: Client Account # for AB Go

Home Clients Market Data Advisory Products Research Order Entry MY Business Services Modeling Exhibits Administration

Client Name: Gregory Adams

Goal Name: General Investment

Create Proposal:

1 Please enter the following information:

Proposal Title: General Investment

Client First Name/Last Name: Gregory / Adams

FA Name/Title/Phone Number: OUT / test / 555-1212

Comments (will not be displayed on proposal):

2 Please select the exhibits to include in your proposal:

General Information (Use Ctrl. key to select multiple UBSIPW Products and Services)

Equity Research and Syndicate

Taxable Fixed Income

Municipal Securities

Recommended Purchases

Select this box to save these selections as your default presentation.

Draft Proposal Final Proposal

1810 1812

Done

1802

1804

1806

1800

FIGURE 18

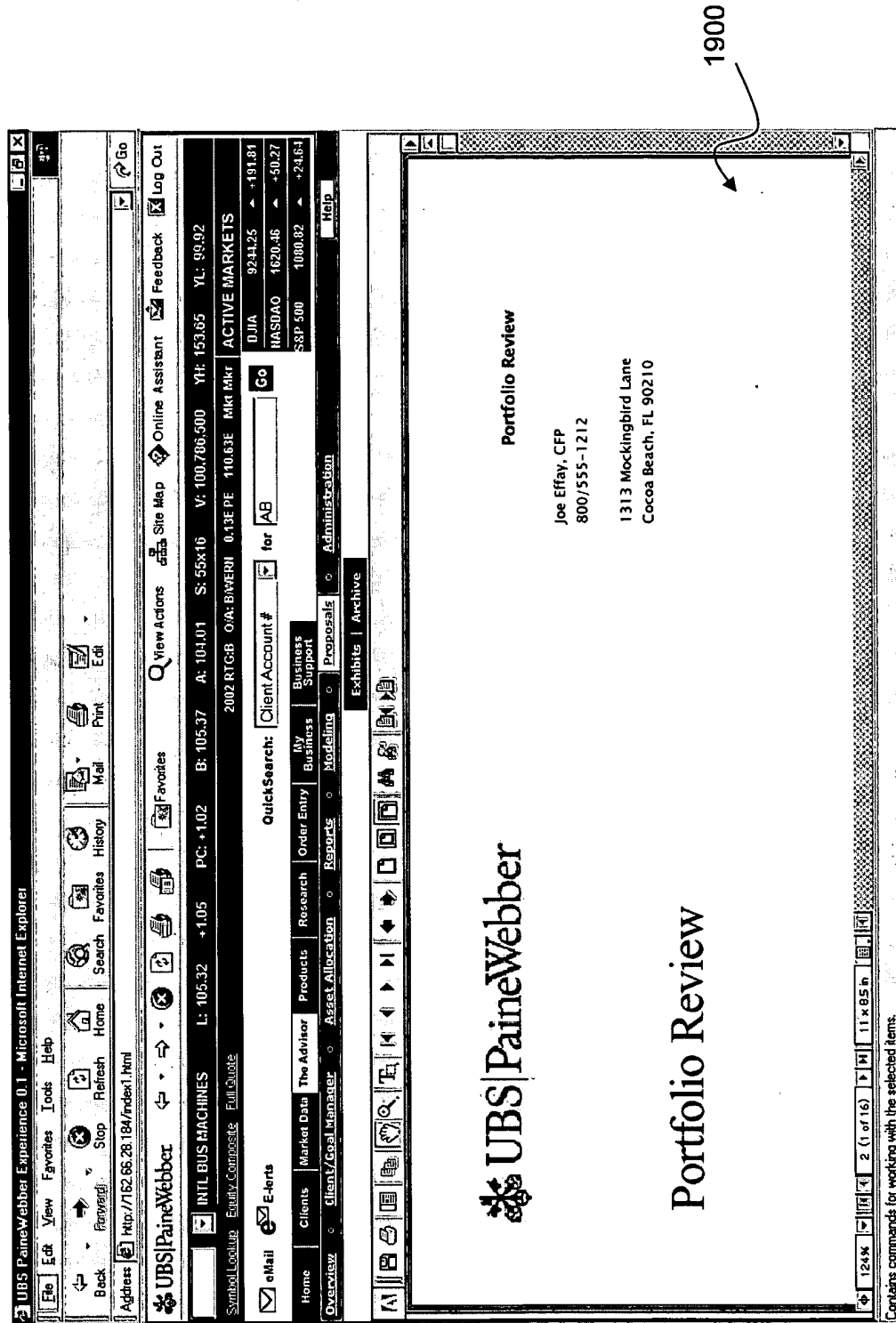


FIGURE 19

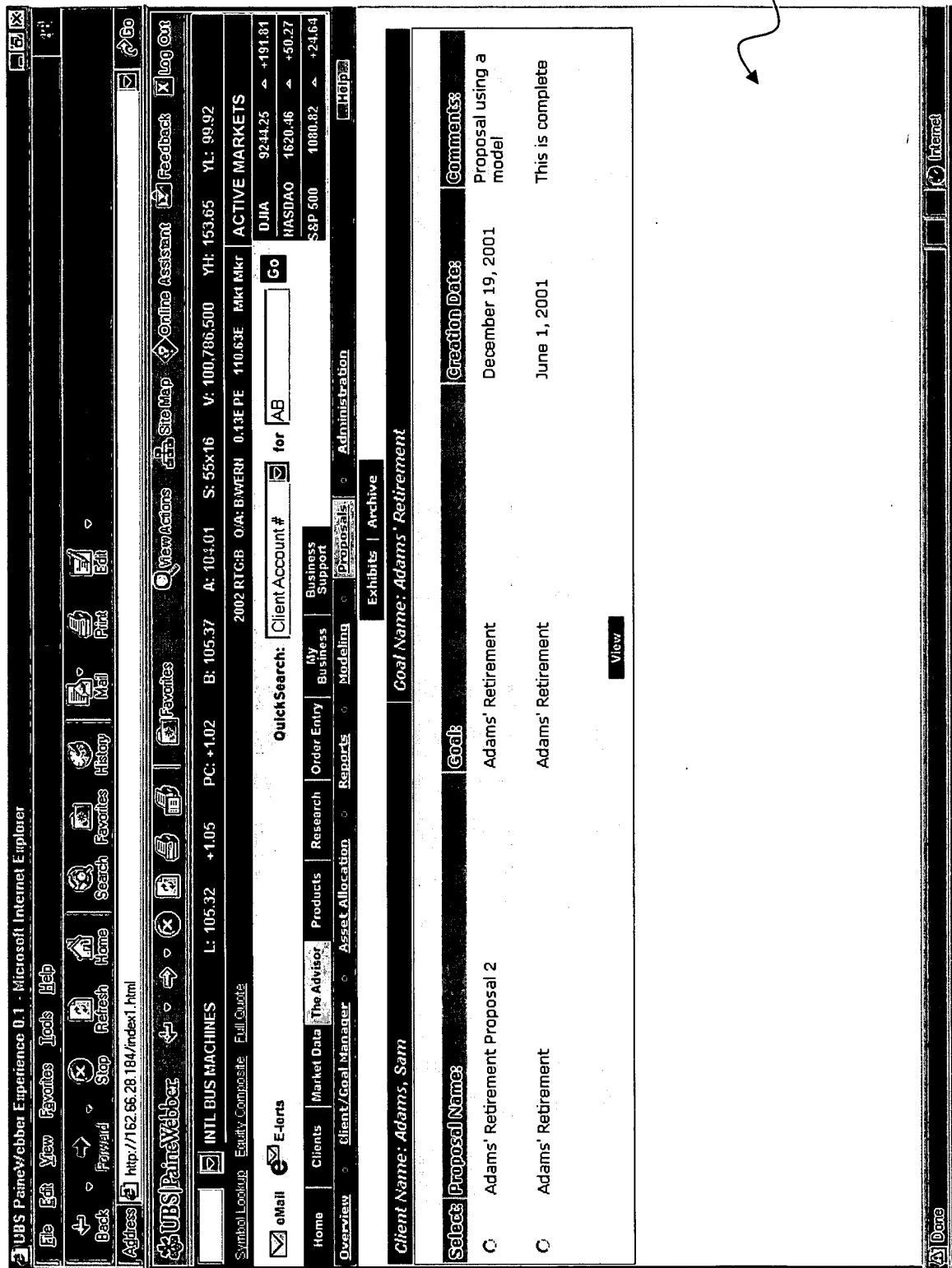


FIGURE 20

UBS PaineWebber Experience 0.1 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit

Address http://162.66.28.184/index1.html

UBS PaineWebber

Symbol Lookup Equity Composite Full Guide

Quick Search: Client Account # for VO Go

Home Clients Market Data The Advisor Products Research Order Entry My Business Business Support

Overview Client/Goal Manager Asset Allocation Reports Portfolio Analytics

New Actions Site Map Online Assistant Feedback Log Out

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NASDAQ 1620.46 +50.27

S&P 500 1080.82 +24.64

Client Name: Adams, Sam

Goal Name: Adams' Retirement

My Next Step

Include Accounts

Account Number

Client

Account Value

☒ BG478931 Adams, Sam \$25,131

☒ @BG126571 Adams, Sam \$192,985

☒ BG347651 Adams, Jane \$45,128

Report Name

Time Frame

Description

Portfolios

☐ Portfolio Diversification

☐ Realized Gain/(Loss)

☐ Expected Cash Flow

☐ Asset Allocation

Excludes

This report details the allocation of holdings by investment category and sub-category for the selected accounts(s).

This report provides a summary of both short-term and long-term realized gains/(losses) of the selected accounts(s).

This report illustrates cash-flows (including principal paybacks) projected for 12 months for Equity securities.

This report details the allocation of holdings by investment category and sub-category for the selected account(s).

This report details the allocation of holdings by investment category and sub-category for the selected account(s).

FIGURE 21